

Exhibit 300 (BY2008)

PART ONE	
OVERVIEW	
1. Date of Submission:	2007-01-16
2. Agency:	015
3. Bureau:	57
4. Investment Name:	OCC ENTERPRISE SYSTEMS
5. UPI:	015-57-02-00-01-3055-00
6. What kind of investment will this be in FY2008?	
Mixed Life Cycle	
7. What was the first budget year this investment was submitted to OMB?	
FY2006	
8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap.	
<p>OCC's Enterprise Systems established a Web portal family of services to promote the goal of modernizing the OCC'S web publishing processes and systems. The modernized way of doing business is to provide a standard, secure, and efficient data-processing environment on which to operate OCC's line of business applications. This goal is being achieved through the establishment of Internet, Intranet and Extranet web portals. The Internet (Public Portal): The platform is citizen centric providing publications, guidance and other banking information for the public regarding the OCC and national banks. The Intranet (Employee Portal): Enables internal OCC users access to internal OCC online applications, forms, publications and guides. The content that resides on this platform is essential to human resources management, (for providing employees' access to information and corporate knowledge that assist them in their work), organizational communications and other functions that support bank supervision activities. Employees have access to information and/or data in a timely and accurate manner; OCC bank examiners will have timely, authoritative and complete mission-critical information readily. The Extranet (BankNet/Registered Users): In accordance with Section 508 of the Rehabilitation Act of 1998, as amended, 29 USC 794(d), BankNet is accessible to all registered users. BankNet provides exclusive web service for national banks operated by the OCC. It provides the private exchange of information between OCC and the banks it charters and provides online products to assist these banks. The national banks are provided accurate and timely data on a secure platform that ensures both information security and data integrity. This modernization effort was initiated to answer growing concerns that the OCC's websites were not meeting end user needs for information and services. Opportunities to realize greater organizational efficiencies and improve workforce effectiveness were being missed due the OCC's current technical systems and architectures. This effort was charged with addressing these issues and developing an effective and updated web infrastructure that supports the OCC's mission critical business functions both now and into the future.</p>	
9. Did the Agency's Executive/Investment Committee approve this request?	
yes	
9.a. If "yes," what was the date of this approval?	
2006-08-09	
10. Did the Project Manager review this Exhibit?	
yes	
11. Project Manager Name:	
Wahl, John	
Project Manager Phone:	
(202) 874-5126	
Project Manager Email:	
John.Wahl@occ.treas.gov	
12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project.	
yes	
12.a. Will this investment include electronic assets (including computers)?	

yes	
12.b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)	
no	
13. Does this investment support one of the PMA initiatives?	
yes	
If yes, select the initiatives that apply:	
Expanded E-Government	
Human Capital	
13.a. Briefly describe how this asset directly supports the identified initiative(s)?	
1. The Strategic Management of Human Capital: The portals support OCC's plans for Knowledge Management. This infrastructure provides explicit knowledge for OCC's future expansion of its Knowledge Management for its knowledge-based assets. 2. Expanded Electronic Government (E-Gov) strategic goal, the expansion of electronic interactions (e-government) will increase the use of the Internet and provide information and services to OCC's employees and customers.	
14. Does this investment support a program assessed using OMB's Program Assessment Rating Tool (PART)?	
no	
15. Is this investment for information technology (See section 53 for definition)?	
yes	
16. What is the level of the IT Project (per CIO Council's PM Guidance)?	
Level 1	
17. What project management qualifications does the Project Manager have? (per CIO Council's PM Guidance)	
(1) Project manager has been validated as qualified for this investment	
18. Is this investment identified as high risk on the Q4 - FY 2006 agency high risk report (per OMB's high risk memo)?	
yes	
19. Is this a financial management system?	
no	
20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)	
Hardware	1
Software	2
Services	97
21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?	
yes	
22. Contact information of individual responsible for privacy related questions.	
Name	
Andy Boots	
Phone Number	
202-874-5638	
Title	
Information Security Officer	
Email	
Andy.Boots@occ.treas.gov	
23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?	
yes	
SUMMARY OF SPEND	

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated Government FTE Cost, and should be excluded from the amounts shown for Planning, Full Acquisition, and Operation/Maintenance. The total estimated annual cost of the investment is the sum of costs for Planning, Full Acquisition, and Operation/Maintenance. For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

All amounts represent Budget Authority

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 & Earlier	PY	CY
	-2005	2006	2007
Planning Budgetary Resources	0.000	1.108	0.000
Acquisition Budgetary Resources	0.000	0.280	0.943
Maintenance Budgetary Resources	0.000	0.988	0.966
Government FTE Cost	0.000	0.746	0.403
# of FTEs	0	6	0

Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies).

Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's?

no

3. If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes.

There are currently no changes to report.

PERFORMANCE

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use Table 1 below for reporting performance goals and measures for all non-IT investments and for existing IT investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2006.

Table 1

	Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
1	2005	1. An expert, highly motivated, and diverse workforce that makes effective use of OCC resources. 2. A safe and sound national	1. Operational and organizational efficiencies are realized through improved web publishing processes.	1. There is no web content repository. 2. OCCNet is the least effective web platform. Finding information is difficult. 3. Technical infrastructure not architected to support efficient management and delivery of web content.	1. 100 % of web content is inventoried.	

		banking system.				
2	2006	1. An expert, highly motivated, and diverse workforce that makes effective use of OCC resources. 2. A safe and sound national banking system.	1. Operational and organizational efficiencies are realized through improved web publishing processes.	1. There is no web content repository. 2. OCCNet is the least effective web platform. Finding information is difficult. 3. Technical infrastructure not architected to support efficient management and delivery of web content.	2. Web content owners are identified and roles and responsibilities are communicated.	
3	2007	1. An expert, highly motivated, and diverse workforce that makes effective use of OCC resources. 2. A safe and sound national banking system.	1. Operational and organizational efficiencies are realized through improved web publishing processes and access to data, information and services hosted on OCCNet in particular, and OCC.gov and BankNet in general. 2. Improved IT management and effective use of OCC financial resources. 3. Timely, accurate, credible and high-value web content is provided from one authoritative source to the OCC's websites. 4. The web publishing process is automated.	1. There is no central web content repository. 2. Technical infrastructure does not support efficient and effective web platform management/integration. 3. Delivery of content is improved. Staff report increased satisfaction.	1. Web performance metrics are established and base lined. 2. Instances of redundant and obsolete content are reduced by 50%.	
5	2007	1. An expert, highly motivated, and diverse workforce that makes effective use of OCC resources. 2. A safe and sound national banking system.	1. Operational and organizational efficiencies are realized through improved web publishing processes and access to data, information and services hosted on OCCNet in particular, and OCC.gov and BankNet in general. 2. Improved IT management and effective use of OCC financial resources. 3. Timely, accurate, credible and high-value web content is provided from one authoritative source to the OCC's websites.	1. Web publishing processes are clearly defined and automated. Newly designed websites are published from a central repository. 2. The technical infrastructure is architected to support efficient web site management.	1. Usability satisfaction is measured at 75% for all websites. 2. General satisfaction with OCC.gov is within the top 30 % of federal websites as measured by the ACSI. 3. A single copy is maintained for all content.	

6	2007	1. An expert, highly motivated, and diverse workforce that makes effective use of OCC resources. 2. A safe and sound national banking system.	1. Operational and organizational efficiencies are realized through improved web publishing processes and access to data, information and services hosted on OCCNet in particular, and OCC.gov and BankNet in general. 2. Improved IT management and effective use of OCC financial resources. 3. Timely, accurate, credible and high-value web content is provided from one authoritative source to the OCC's websites.	1. Web publishing processes are clearly defined and automated. Newly designed websites are published from a central repository. 2. The technical infrastructure is architected to support efficient web site management.	1. Redundant and obsolete content are reduced by 100%. 2. All content published to the OCC websites follow defined publishing processes. 3. 100% of content is auditable. 4. Satisfaction for web publishing customers increases by 10% over prior year.	
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All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the FEA Performance Reference Model (PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for at least four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov.

Table 2

Fiscal Year	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
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EA

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

1. Is this investment included in your agency's target enterprise architecture?

yes

2. Is this investment included in the agency's EA Transition Strategy?

no

2.b. If no, please explain why?

The portfolio of OCC investments has been completely reformulated to allow exact alignment of IT investments, technical solutions, and FISMA certification and reporting. This will not be reflected in the OMB Assessment until the reformulated investments are approved during this cycle.

3. Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <http://www.whitehouse.gov/omb/egov/>.

Component: Use existing SRM Components or identify as NEW. A NEW component is one not already identified as a service component in the FEA SRM.

Reused Name and UPI: A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

Internal or External Reuse?: Internal reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. External reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by

multiple organizations across the federal government.

Funding Percentage: Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.

	Agency Component Name	Agency Component Description	Service Type	Component	Reused Component Name	Reused UPI	Internal or External Reuse?	Funding %
1	WebSite of the Future (WSOF)	OCC Web Site initiative(s) will enable content management across the bureau	Content Management	Content Publishing and Delivery			Internal	2
2	WebSite of the Future (WSOF)	OCC Web Site initiative(s) enable better electronic review & approval	Content Management	Content Review and Approval			Internal	2
3	WebSite of the Future (WSOF)	OCC Web Site initiatives(s) support improved content authoring	Content Management	Content Authoring			Internal	2
4	WebSite of the Future (WSOF)	Future OCC Web Sites will enable enhanced information sharing through portals	Knowledge Management	Information Sharing			Internal	2
5	WebSite of the Future (WSOF)	Future OCC Web Sites will enhance delivery & distribution of corporate knowledge	Knowledge Management	Knowledge Distribution and Delivery			Internal	2

4. To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component: Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications.

Service Specification: In the Service Specification field, Agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

	SRM Component	Service Area	Service Category	Service Standard	Service Specification (i.e., vendor and product name)
1	Content Publishing and Delivery	Service Access and Delivery	Access Channels	Web Browser	Microsoft IE
2	Content Publishing and Delivery	Service Access and Delivery	Delivery Channels	Internet	Treasury TCS/TCE
3	Content Publishing and Delivery	Service Access and Delivery	Delivery Channels	Intranet	OCC-managed Intranet with AT&T telco vendor
4	Content Publishing and Delivery	Service Access and Delivery	Delivery Channels	Extranet	Custom BankNet Extranet hosted by OCC's Data Center

5	Content Publishing and Delivery	Service Access and Delivery	Delivery Channels	Virtual Private Network (VPN)	Cisco VPN
6	Content Publishing and Delivery	Service Access and Delivery	Service Requirements	Legislative / Compliance	Section 508
7	Content Publishing and Delivery	Service Access and Delivery	Service Transport	Service Transport	HTTP, IP, TCP
8	Content Publishing and Delivery	Service Access and Delivery	Service Transport	Supporting Network Services	DHCP, LDAP, DNS
9	Content Publishing and Delivery	Service Platform and Infrastructure	Delivery Servers	Web Servers	Microsoft IIS, BEA Weblogic, Jakarta
10	Content Publishing and Delivery	Service Platform and Infrastructure	Delivery Servers	Application Servers	Microsoft IIS
11	Content Publishing and Delivery	Service Platform and Infrastructure	Support Platforms	Platform Independent	J2EE
12	Content Publishing and Delivery	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows 2000, Windows .NET
13	Content Publishing and Delivery	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	Microsoft Visual Studio .NET
14	Content Publishing and Delivery	Service Platform and Infrastructure	Database / Storage	Database	MS SQL Server
15	Content Publishing and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	HP Proliant enterprise servers, primarily Dell desktop & notebook computers
16	Content Publishing and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Wide Area Network (WAN)	Frame Relay, T1, VPN
17	Content Publishing and Delivery	Service Platform and Infrastructure	Hardware / Infrastructure	Local Area Network (LAN)	Ethernet
18	Content Publishing and Delivery	Component Framework	Security	Certificates / Digital Signatures	SSL
19	Content Publishing and Delivery	Component Framework	Presentation / Interface	Static Display	HTML
20	Content Publishing and Delivery	Component Framework	Presentation / Interface	Dynamic Server-Side Display	JSP, ASP .NET
21	Content Publishing and Delivery	Component Framework	Presentation / Interface	Content Rendering	CSS, DHTML
22	Content Publishing and Delivery	Component Framework	Business Logic	Platform Independent	J2EE

23	Content Publishing and Delivery	Component Framework	Business Logic	Platform Dependent	.NET
24	Content Publishing and Delivery	Component Framework	Data Management	Database Connectivity	ODBC
25	Content Publishing and Delivery	Service Interface and Integration	Interoperability	Data Types / Validation	XML Schema
26	Content Publishing and Delivery	Service Interface and Integration	Interface	Service Discovery	UDDI
27	Content Publishing and Delivery	Service Interface and Integration	Interoperability	Data Format / Classification	Namespaces, XML
28	Content Publishing and Delivery	Service Interface and Integration	Interface	Service Description / Interface	WSDL

5. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?

no

6. Does this investment provide the public with access to a government automated information system?

yes

6.a. If yes, does customer access require specific software (e.g., a specific web browser version)?

no

PART TWO

RISK

You should perform a risk assessment during the early planning and initial concept phase of the investment's life-cycle, develop a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

Answer the following questions to describe how you are managing investment risks.

1. Does the investment have a Risk Management Plan?

yes

1.a. If yes, what is the date of the plan?

2006-05-22

1.b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?

no

3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule: (O&M investments do NOT need to answer.)

The cost of all milestones is risks adjusted to reflect consideration of potential negative consequences. All identified alternatives as well as the impact and probability of occurrence are weighed using are staff's expertise and many years of experience. The various possible outcomes are then measured against the chosen alternative to give us a better idea of the level of risk involved and the severity of any negative consequences.

COST & SCHEDULE

Does the earned value management system meet the criteria in ANSI/EIA Standard 748?

no

2.a. What is the Planned Value (PV)?

1.110

2.b. What is the Earned Value (EV)?

1.019
2.c. What is the actual cost of work performed (AC)?
0.982
What costs are included in the reported Cost/Schedule Performance information?
Contractor and Government
2.e. As of date:
2006-06-30
3. What is the calculated Schedule Performance Index (SPI= EV/PV)?
0.92
4. What is the schedule variance (SV = EV-PV)?
-0.090
5. What is the calculated Cost Performance Index (CPI = EV/AC)?
1.04
6. What is the cost variance (CV = EV-AC)?
0.037
7. Is the CV or SV greater than 10%?
no
7.d. What is most current Estimate at Completion?
2.857
8. Have any significant changes been made to the baseline during the past fiscal year?
no